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**NASA**  
**Procedural**  
**Requirements**

**NPR 1400.1D**  
Effective Date: February 18,  
2007  
Expiration Date: February 18,  
2012

**COMPLIANCE IS MANDATORY**

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## **NASA Directives Procedural Requirements, with Change 4, dated 10/24/2008**

**Responsible Office: Office of Institutions and Management**

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**Change History****NPR 1400.1D, NASA Directives System Procedural Requirements w/Change 3 (11/26/2007)**

<b>Change Number</b>	<b>Date</b>	<b>Change Description</b>
3	11/26/2007	<p>Paragraph 4.5.1 updated to include paragraphs d, e, f, &amp; G that clarify requirements for publishing NASA Interim Directives (i.e., coordination with the Office of Human Capital Management (OHCH), Office of Procurement, Office of the Chief Financial Officer, and the Office of the General Counsel.)</p> <p>Additionally, paragraph 1.2.11 removed because it is now captured in paragraph 4.5.1.e., and paragraph 4.3.5 modified to provide OHCM requirements for new and revised only, as OHCM requirements for interim directives is now captured in paragraph 4.5.1.f.</p>
2	07/06/2007	<p>Effective immediately, all proposed new directives, directives undergoing revision, and proposed interim directives must be provided to the Office of Human Capital Management (OHCM) prior to submission of the directive to the NODIS system in order to enable OHCM to meet the Agency's obligation to provide the Agency's unions with a 30-day national consultation period. Confirmation that this coordination has been completed will now be required on NASA Form 184 in order for OICMS to accept the directive into the NODIS system. Please send any new, revised, or interim directive for which your office is responsible to the OHCM Directives Manager, Cheryl Agin. This does not apply to expiring directives that are only being re-validated. This change is captured in paragraph 1.2.11 of Chapter 1, and paragraph 4.3.5 in Chapter 4.</p> <p>Responsible Office title was changed from Management Systems Division to the Office of Internal Controls and Management Systems (OICMS)</p>
1	2/27/2007	Re-formatted Authorities to conform with instructions within this NPR.

# PREFACE

## P.1 PURPOSE

- a. This NASA Procedural Requirements (NPR) describes the responsibilities and requirements for creating, revising, reviewing, approving, publishing, and canceling NASA directives.
- b. This NPR provides specific instructions pertaining to the development, content, processing, and waiving of Agency-level directives.

## P.2 APPLICABILITY

- a. This NPR is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers.
- b. In this NPR, the term "Agency-level directives" refers to directives with Agency-wide applicability; i.e., NASA Policy Directives (NPDs), NPRs, and NASA Interim Directives (NIDs).
- c. In this NPR, the term "Center directives" refers to directives with Center-specific applicability; e.g., Center Policy Directives (CPDs); Center Procedural Requirements (CPRs); and Center Interim Directives (CIDs).
- d. In this NPR, the term "NASA directives" refers to both Agency-level directives and Center directives.
- e. In this NPR, all document citations are assumed to be the latest version unless otherwise noted.
- f. This NPR is applicable to NASA directives developed or revised after the effective date of this NPR.

## P.3 AUTHORITY

- a. National Aeronautics and Space Act of 1958, as amended, 42 U.S.C. S 2473 (c) (l).
- b. NPD 1400.1, Documentation and Promulgation of Internal NASA Requirements.

## P.4 APPLICABLE DOCUMENTS

- a. Inspector General Act of 1978, 5 U.S.C. App. S 4(a)(2), as amended
- b. NPD 1000.0, Strategic Management and Governance Handbook.
- c. NPD 1001.0, 2006 NASA Strategic Plan.
- d. NPD 1000.3, The NASA Organization.
- e. NPD 1280.1, NASA Management System Policy.
- f. NPD 8070.6, Technical Standards.
- g. NPR 1441.1, NASA Records Retention Schedules.

- h. NPR 1450.10, NASA Correspondence Management and Communications Standards and Style.
- i. NPR 7120.5, NASA Program and Project Management Processes and Requirements.
- j. NASA-STD-8719.13, Software Safety Standard.
- k. NHQ Form 117, Action Document Summary.
- l. NHQ Form 184, NASA Directive Request Summary.

## **P.5 MEASUREMENT/VERIFICATION**

### **P.5.1 Four measurements used to determine compliance with this NPR are:**

- a. Do developers follow the required processes specified in this NPR for Agency-level directives initiated or revised after the effective date of this NPR? To determine process compliance, the Office of Internal Controls and Management Systems monitors the processing of each Agency-level directive through NASA Online Directive Information System (NODIS) and the subsequent signature process to ensure that all process steps and requirements have been completed correctly by all of the process participants.
- b. Do developers prepare directives in accordance with the requirements for the content and structure of directives that are specified in this NPR for Agency-level directives initiated or revised after the effective date of this NPR? To determine content compliance, the Office of Internal Controls and Management Systems reviews the contents of each Agency-level directive during the NODIS review and verifies that the content requirements have been met.
- c. Does the Office of Internal Controls and Management Systems fulfill its responsibilities as specified within this NPR? To determine the Office of Internal Controls and Management Systems' compliance with the requirements contained in this NPR, internal and external auditors responsible for verifying Headquarters requirements and processes evaluate the Office of Internal Controls and Management Systems performance against the requirements contained within this NPR.
- d. Are Centers following the content and process requirements of this NPR that are applicable to Centers for Center directives initiated or revised after the effective date of this NPR? To determine Center compliance with this NPR, Center Directors or designees determine and document compliance by applying a verification approach that is tailored to meet the needs of the Center. The Office of Internal Controls and Management Systems surveys the Centers and conducts spot-checks to review Center documentation and implementation of Center-specific verification activity.

## **P.6 CANCELLATION**

NPR 1400.1C, NASA Directives System Procedural Requirements, dated February 13, 2002.

/S/

Charles H. Scales

Associate Administrator for Institutions and Management

# CHAPTER 1. NASA Directives

## 1.1 Overview

1.1.1 A NASA directive is a document that formally prescribes requirements derived from law, the President, Federal regulation, the NASA Administrator, or other senior NASA officials. NASA directives can apply to all NASA activities or to a single NASA Center. NASA directives: 1) Establish policies, procedures, and organizations; 2) Define purpose; 3) Grant authority to accomplish a task; and 4) Assign responsibilities.

1.1.2 Responsible Offices develop, coordinate, and promulgate NASA directives in accordance with this NPR. The requirements contained in this NPR are designed to ensure that NASA directives:

- a. Are necessary for the fulfillment of NASA's mission.
- b. Are evaluated by all affected or interested parties in draft form before issuance and that the feedback is provided for comments received.
- c. Are reviewed in draft form to reduce the potential for unintended technical, financial, or legal risks.
- d. Are available and easily accessible or retrievable by all affected or interested parties.
- e. Include an explanation of how the requirements in the directive will be verified for compliance.

## 1.2 General Provisions Governing NASA Directives

1.2.1 NASA shall document its policy statements and procedures in the NASA Directives System.

1.2.1.1 The NASA Directives System consists of Agency-level Directives and Center-level Directives.

1.2.1.2 The Administrator approves all NPDs. Center Directors, or designees, approve Center directives.

1.2.1.3 The signatory authority for NPR's is the Official-in-Charge of the Headquarters organization originating the NPR or the Administrator.

1.2.2 NASA directives may apply to the Jet Propulsion Laboratory (JPL) or to other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements.

1.2.3 Agency-level directives include NPDs that state the Agency's policies, NPRs that provide detailed procedures and requirements to implement policy, and NIDs that provide an immediate, short-term statement of the Agency's policies or procedures.

1.2.4 NASA Centers may issue Center directives to address matters not covered by Agency-level directives or to implement requirements contained in Agency-level directives.

1.2.5 When proposing a new or significantly revised Agency-level directive, the Responsible Office also includes an explanation of the potential impact of the new requirements (e.g., cost, technical, human resources) in the space provided on the NASA Headquarters (NHQ) Form 184 (see paragraph 4.3.6.1.f).

1.2.6 If a waiver to an Agency-level directive is necessary, those requesting the waiver and those approving the waiver shall follow the process defined in paragraph 4.2.

1.2.7 The Responsible Office may not submit an NPR for formal review unless there is an approved NPD, posted on NODIS, that provides the authority for the NPR.

*Note: There need not be a separate NPD for each NPR. An NPD may provide the authority for more than one NPR.*

1.2.8 Approved NASA directives are in effect for a maximum of 5 years.

*Note: The Responsible Office need not wait 5 years to revise a directive. The Responsible Office may revise the contents of directives under their responsibility any time that a change is warranted.*

1.2.9 The "Responsible Office" designation identifies the organization responsible for developing and maintaining the NASA directive.

*Note: The Official In Charge (OIC) of the Headquarters Office may delegate the "Responsible Office" designation and responsibilities.*

1.2.10 The Responsible Office verifies compliance with the requirements contained in its directives at a frequency of not less than one time every five years.

*Note: See paragraph P.5 for examples of how to verify requirements to directives.*

## 1.3 Description and Hierarchy of NASA Directives

1.3.1 NPD 1400.1, Documentation and Promulgation of Internal NASA Requirements, displays the hierarchical relationship between directives and NASA internal requirement documents. The information below is provided to help the reader interpret those relationships. In the event of conflict, the highest ranking document takes precedence.

*Note: Readers may report conflicts the directives manager to initiate resolution. See paragraph 2.12.2.f.*

1.3.2 The top directives that govern NASA:

- a. NPD 1000.0, Strategic Management and Governance Handbook, is the highest ranking NASA directive. NPD 1000.0 sets forth the principles by which NASA will strategically manage the Agency, describes the means for doing so, and identifies the specific requirements that drive NASA's strategic planning process, leading to products such as the Strategic Plan and the Annual Performance and Accountability Report.
- b. NPD 1001.0, 2006 NASA Strategic Plan, is the second highest ranking NASA directive. NPD 1001.0 conveys the NASA vision, mission, and strategic goals. It discusses NASA's organization, strategic management framework, external partners and advisors, external challenges, and introduces NASA's very long range goals.
- c. NPD 1000.3, The NASA Organization, is the third highest ranking NASA directive. NPD 1000.3 defines the basic roles and responsibilities necessary to conduct the mission and business of NASA.



It is the official repository for defining NASA's organizational architecture.

1.3.2.1 In the event of a conflict among the top-level directives, the information provided in highest ranking directive takes precedence.

1.3.2.2 In the event of conflict among the top-level directives and one or more NPDs and/or NPRs, the information provided in the top-level directive(s) takes precedence.

1.3.3 Agency-level directives and Center directives:

1.3.3.1 In the event of a conflict between an NPD and an NPR, the information provided in the NPD takes precedence.

1.3.3.2 In the event of a conflict between an NPD or an NPR with a Center Directive, the information provided in the NPD or NPR takes precedence.

1.3.3.3 In the event of a conflict between a CPD and a CPR, the information provided in the CPD takes precedence.



# CHAPTER 2. Responsibilities

## 2.1 Administrator

2.1.1 Only the Administrator is authorized to approve NPDs.

## 2.2 Deputy Administrator

2.2.1 The Deputy Administrator, or designee, serves as the Agency-level Directives Resolution Official. The Agency-level Directives Resolution Official resolves impasses such as nonconcurrences and other issues that cannot be resolved at the organizational level.

## 2.3 Associate Administrator for Institutions and Management

2.3.1 The Associate Administrator for Institutions and Management has overall management responsibility for the NASA Directives System.

## 2.4 OICs of Headquarters Offices

2.4.1 OICs of Headquarters Offices determine their organization's need for Agency-level directives. OICs ensure staff responsibilities are assigned to create or revise a directive, submit the directive for official review, and secure concurrences through NODIS.

*Note: OICs of Headquarters Offices are listed in NPD 1000.3, The NASA Organization.*

2.4.2 OICs of Headquarters Offices ensure that Agency-level directives under their responsibility are reviewed for continuing need, applicability, and accuracy at a frequency not to exceed 5 years; cancel Agency-level directives when they are no longer needed; and verify compliance with the requirements contained in Agency-level directives under their responsibility.

*Note: Directives considered "under their responsibility" for OICs of Headquarters Offices include all directives where the Responsible Office reports to the OIC of the Headquarters Office.*

2.4.3 OICs of Headquarters Offices designate a Directives Manager(s) to assist, guide, and monitor the organization's directives activities.

2.4.4 OICs of Headquarters Offices are responsible for determining which Agency-level directives their office should review during the official review and approval process.

2.4.5 OICs of Headquarters Offices are responsible for evaluating and dispositioning all waivers to Agency-level directives under their responsibility in accordance with the process described in paragraph 4.2 of this NPR.

2.4.6 OICs of Headquarters Offices are responsible for ensuring that their employees comply with NASA directives.

## 2.5 Center Directors

2.5.1 Center Directors are responsible for ensuring compliance with NASA directives and ensuring that Center directives do not conflict with material provided by Agency-level directives.

2.5.2 Center Directors are responsible for designating a Center Directives Manager as a point of contact to assist, guide, and monitor directives activities.

2.5.3 Center Directors, or designees, are responsible for determining which Agency-level directives their Center should review during the official review and approval process.

2.5.4 Center Directors, or designees, are the signature authority for Center directives.

## **2.6 NASA General Counsel**

2.6.1 The NASA General Counsel is responsible for reviewing for compliance with the law, and commenting on, all Agency-level directives during the process for coordinating and approving new Agency-level directives, updating existing Agency-level directives, and establishing Agency-level interim directives. The NASA General Counsel is responsible for concurring in Agency-level directives prior to signature by the approving NASA official.

## **2.7 Inspector General**

2.7.1 The Inspector General, in accordance with the Inspector General Act of 1978, as amended, is responsible for reviewing and commenting on each Agency-level directive during the official review and approval process to identify its possible impact on effectiveness and efficiency in the administration and operations of NASA programs and preventing fraud, waste, and abuse in NASA programs.

## **2.8 NASA Chief Financial Officer**

2.8.1 The NASA Chief Financial Officer is responsible for reviewing and concurring on all Agency-level directives to ensure proper financial consideration.

## **2.9 Assistant Administrator for Human Capital Management**

2.9.1 The Assistant Administrator for Human Capital Management coordinates the review of proposed Agency-level directives with the national offices of Federal labor organizations and is responsible for reviewing and concurring on all Agency-level directives.

## **2.10 Assistant Administrator for Internal Controls and Management Systems**

2.10.1 The Assistant Administrator for Internal Controls and Management Systems is responsible for the management and maintenance of the NASA Directives System and for establishing and enforcing the policies and procedures in NPD 1400.1 and this NPR.

2.10.2 The Assistant Administrator for Internal Controls and Management Systems is responsible for verifying compliance to the requirements contained in this NPR by:

- a. Monitoring the processing of each Agency-level directive through the NODIS and the subsequent signature process to ensure that all process steps and requirements of this NPR have been completed correctly by the process participants.
- b. Reviewing the contents of each Agency-level directive during the NODIS review and verifying that the content requirements have been met.
- c. Conducting periodic spot-checks to review Center documentation and implementation of Center-specific verification activity.

2.10.3 The Assistant Administrator for Internal Controls and Management Systems is responsible for assisting and supporting the Deputy Administrator in the role as Agency-level Directives Resolution Official.

2.10.4 The Assistant Administrator for Internal Controls and Management Systems is responsible for verifying the completeness of the Agency-level directive signature package when it goes to the responsible NASA official for signature. This includes:

- a. Ensuring all comments received from reviewing organizations during the review and approval process for Agency-level directives are dispositioned and the dispositions are provided to the reviewing organizations.
- b. Ensuring that an explanation for nonconcurrences is documented and available in the directive signature package.

2.10.5 The Assistant Administrator for Internal Controls and Management Systems is responsible for concurring on the Agency-level directive when submitted for signature.

2.10.6 The Assistant Administrator for Internal Controls and Management Systems is responsible for tracking, monitoring, and reporting activities associated with processing Agency-level directives.

2.10.7 The Assistant Administrator for Internal Controls and Management Systems is responsible for ensuring document control for Agency-level directives through maintenance of the NODIS library, the NODIS database, and signed approval packages.

2.10.8 The Assistant Administrator for Internal Controls and Management Systems is responsible for training and assisting Responsible Offices for Agency-level directives and all Directives Managers in the performance of their duties.

2.10.9 The Assistant Administrator for Internal Controls and Management Systems is responsible for monitoring identified conflicts among directives to assure resolution.

2.10.10 The Assistant Administrator for Internal Controls and Management Systems is responsible for maintaining and disposing of all official files associated with approved Agency-level directives in accordance with NPR 1441.1, NASA Records Retention Schedules.

## **2.11 Responsible Office**

2.11.1 The Responsible Office is responsible for preparing NASA directives in accordance with the requirements of this NPR.

2.11.2 For NPDs and NPRs, the Responsible Office is responsible for submitting, at the time of request for official review and approval, an explanation of the potential impact of implementing the directive, in terms of technical, financial, and human resources, and potential for unintended consequences (see paragraph 4.3.5.1.f).

*Note: This does not require a complete analysis, but rather a general statement of the impact of the requirements. The desired outcome is to promote understanding of the cost and impact of requirements and discussion between the people who generate the requirements and the people who will have to implement the requirements. Ideally, the potential impact of requirements is factored into the decision by the Responsible Office on whether to propose the NPD or NPR, the concurring officials on whether to concur in the NPD or NPR, and the approving official on whether or not to approve the NPD or NPR.*

2.11.3. The Responsible Office is responsible for maintaining currency for the directives they publish and, at a minimum, reviewing its directives for accuracy and continuing need at a frequency not to exceed 5 years.

2.11.4 The Responsible Office is responsible for verifying compliance with the requirements contained in its directives at a frequency not to exceed 5 years.

## **2.12 Directives Managers**

2.12.1 The Directives Managers are the points of contact in each Headquarters organization and NASA Center for matters pertaining to NASA Directives. They are responsible for supporting OICs of Headquarters Offices, Headquarters senior managers, and Center Directors with directives activities and issues. This includes assuring that directives are prepared and coordinated in accordance with the requirements in this NPR.

2.12.2 Specific Directives Managers' responsibilities include:

- a. Managing the directives management process at their location.
- b. Providing assistance to personnel in accessing the NODIS Library.
- c. Coordinating the official review of directives at their location.
- d. Determining who should review the document and ensuring that the reviewer(s) has access to the NASA directive being reviewed and the NHQ Form 184 that contains the explanation of potential impact (for Agency-level directives).
- e. Consolidating the reviewer(s)' comments into the official response.
- f. Documenting and initiating resolution of conflicts among directives (Agency-level and Center) identified by or reported to the Directives Manager.

Note: Conflict resolution is initiated by contacting the Directives Manager of the Responsible Organization(s) for the directive(s) in conflict and notifying the Office of Internal Controls and Management Systems.

2.12.3 In addition to the responsibilities listed in paragraph 2.12.2, the following responsibilities are applicable to Center Directives Managers only.

- a. Managing and maintaining a current online repository of Center directives.
- b. Maintaining a master list of Center directives.
- c. Ensuring Center directives are approved and published in accordance with established procedures.

- d. Tracking, monitoring, and reporting activities associated with processing NASA directives.
- e. Training and assisting directives writers and reviewers in the performance of their duties.
- f. Maintaining and disposing of case files for all Center directives in accordance with NPR 1441.1, NASA Records Retention Schedules (see paragraph 4.7).

## **2.13 Headquarters Quality Control Liaisons**

2.13.1 The Quality Control Liaison for the Responsible Office is responsible for reviewing Agency-level directive signature packages and initialing the NHQ Form 117, Action Document Summary, before forwarding the Agency-level directive for final processing.

## **2.14 Agency Records Officer**

2.14.1 The Agency Records Officer in the Office of the Chief Information Officer is responsible for coordinating with the Office of Internal Control and Management Systems, the Executive Secretariat, and the Office of the General Counsel on decisions affecting the numbering of NASA directives in accordance with the 10 subject categories defined within NPR 1441.1, NASA Records Retention Schedules, paragraphs 1.3, 1.8, and Appendix D.

## **2.15 Headquarters Executive Secretariat**

2.15.1 The Headquarters Executive Secretariat is responsible for the final quality review of Agency-level directives prior to approval and signature by the Agency official. The Executive Secretariat is responsible for providing all editorial changes needed for conformance with NPR 1450.10, NASA Correspondence Management and Communications Standards and Style, and assuring incorporation by the Responsible Office.

# CHAPTER 3. Requirements for the Content and Structure of NASA Directives

## 3.1 General

3.1.1 NASA directives contain requirements necessary to achieve consistent direction for the Agency. NASA directives may include contextual information that supports the understanding of requirements.

*Note: Contextual information is background information, such as history or rationale for a requirement, or other descriptive information or examples that help clarify the actual requirement statement.*

3.1.2 If there is guidance that has to be included with a NASA directive, the Responsible Office shall document the guidance in an appendix and clearly label the appendix as guidance.

*Note: Guidance is considered to be a statement of expectation that does not mandate compliance.*

## 3.2 Requirement Statements in NASA Directives

3.2.1 Responsible Offices shall apply the following criteria when writing requirement statements in NASA directives:

- a. Identify requirements statements by using the word "shall" to denote mandatory compliance.
- b. Designate at least one official (by position title) or organization as responsible and accountable for completion of the requirement.
- c. Identify what action must be accomplished or what product must be provided to demonstrate compliance with the requirement.
- d. Separately state each individual requirement statement (i.e., one "shall" statement per paragraph).

3.2.2 Responsible Offices shall not replicate existing internal or external requirements within directives. Cross-referencing may be used to cite existing requirements. NASA directives may supplement, clarify, or make more stringent external requirements or designate who is responsible for implementation of external requirements.

3.2.3 Responsible Offices shall not include technical requirements in NASA directives. Technical requirements may be included in NASA technical standards which may then be cited in NASA directives.

*Note: Technical requirements are those requirements that discuss the design, performance, operational parameters, and constraints of equipment and systems. These are requirements that would typically be contained within a system or equipment specifications).*

*Note: See NPD 8070.6, Technical Standards, and <http://standards.nasa.gov/> for*



*information on the NASA Technical Standards program.*

### **3.3 Responsibility Statements in Agency-level Directives**

3.3.1 The Responsible Office shall use official position titles and office titles as identified in NPD 1000.3, The NASA Organization, for consistency when assigning or documenting responsibilities in Agency-level directives.

### **3.4 Document Citations in NASA Directives**

3.4.1 There are three types of document citations in NASA directives: Authority documents (also called "Authorities"), Applicable Documents, and References. Their purpose is as follows:

- a. Authority document citations list the higher level document(s) that justify establishing the policy or requirements contained in the directive.
- b. Applicable document citations consist of documents cited in the body of the directive that contain provisions or other pertinent requirements directly related to and necessary for the performance of the activities specified by the directive.
- c. Reference document citations may consist of external requirements that are stated but not cited in the text of the directive. Reference document citations also may be documents that are considered by the Responsible Office to be useful as background information for the reader to help in understanding the subject matter, but do not constitute requirements of the directive. In NPDs and CPDs, reference document lists are contained in an Attachment. In NPRs and CPRs, reference document lists are contained in an Appendix.

3.4.2 Within each document citation list (Authority Documents, Applicable Documents, and References), the Responsible Office shall apply the following requirements:

- a. List document citations in the following order: United States Code, Public Law, Executive Order, Code of Federal Regulations, Federal Register, OMB Circular, NPD, NPR, CPD, CPR, NASA Standard, non-NASA government standard, and other document.
- b. Within each category, list documents in numerical order or alphabetical order by title if documents are not numbered.
- c. When citing NASA directives as authority documents, applicable documents, or reference documents within NASA directives, exclude the revision level designation from the citation (see Figure A).

Note: This requirement is applicable only when citing NASA directives in NASA directives. In other circumstances, citing the revision letter of the directive may be appropriate. Refer to the writing instructions for the type of document you are preparing if more information is needed.

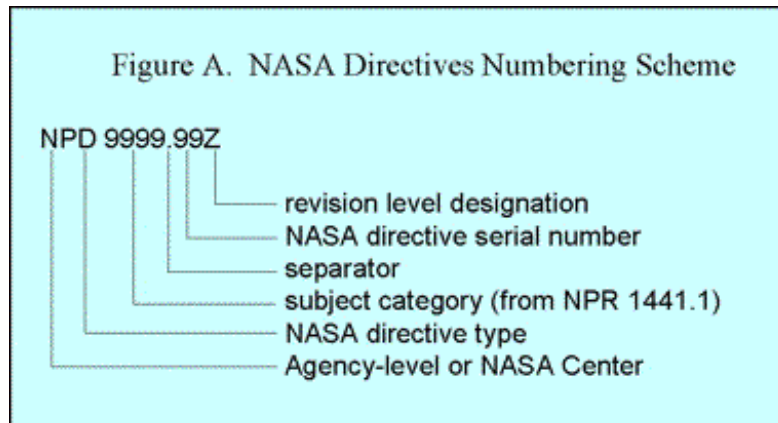
- d. Ensure that documents cited in the directive are approved documents that are available to the reader.
- e. If a cited document is not a Federal statute or regulation or a NASA directive, or is not available in the NASA Technical Standards System, include footnotes (or URLs that allow public access) to show readers precisely where to find the cited documents.



## 3.5 Administrative Elements of NASA Directives

### 3.5.1 NASA Directives Numbering Scheme

3.5.1.1 The NASA directives numbering scheme is composed of six elements that create a unique identifier. The six elements are: one or two letters indicating Agency-level or NASA Center, two letters indicating the NASA directive type, four numbers indicating the subject category (from NPR 1441.1), a separator (period), the NASA directive serial number, and a letter(s) indicating the revision level designation (see Figure A).



3.5.1.2 The subject category numbers used to classify NASA directives are the same subject categories found in the Agency Filing Scheme located in NPR 1441.1, NASA Records Retention Schedules. The serial numbers are automatically generated when the directive is approved.

3.5.1.3 For Agency-level directives, the Office of Internal Controls and Management Systems shall work with the Responsible Office to ensure that the directive number is assigned in accordance with the NASA Directives Numbering Scheme.

3.5.1.4 For Center Directives, the Center Directives manager shall work with the Responsible Office to ensure that the directives number is assigned in accordance with the NASA Directives Numbering Scheme.

### 3.5.2 Effective and Expiration Dates for NASA Directives

3.5.2.1 A NASA directive takes effect on the date that it is signed by the approving official.

3.5.2.2 NPDs, NPRs, CPDs, and CPRs expire a maximum of 5 years after signature or revalidation.

3.5.2.3 NIDs and CIDs expire upon the effective date of the permanent directive or 12 months after the effective date of the interim directive, whichever is earlier.

3.5.2.4 The Office of Internal Controls and Management Systems shall automatically remove NPDs and NPRs from the NODIS Library upon expiration, unless an NPD or NPR replacing the directive being removed has been submitted for review and approval through NODIS.

3.5.2.5 The Office of Internal Controls and Management Systems shall automatically remove NIDs from the NODIS Library upon expiration, unless an NPD or NPR replacing the interim policy or requirements created in the NID has been submitted for review and approval through NODIS.

*Note: A NID may not be replaced by another NID.*

3.5.2.6 The Center Directives Manager shall automatically remove CPDs and CPRs from the Center

Directives Library upon expiration, unless a CPD or CPR replacing the directive being removed has been submitted for revalidation or for review and approval in accordance with the Center's established process.

3.5.2.7 The Center Directives Manager shall automatically remove CIDs from the Center Directives Library upon expiration, unless a CPD or CPR replacing the interim policy or requirements created in the CID has been submitted for review and approval in accordance with the Center's established process.

*Note: A CID may not be replaced by another CID.*

3.5.2.8 For Agency-level Directives, not less than 6 months prior to the expiration date, the Office of Internal Controls and Management Systems shall notify the Responsible Office of the expiration date and request the Responsible Office to indicate their intent to revalidate, revise, or cancel the expiring directive.

*Note: For Center Directives, local processes apply.*

## 3.6 Writing Style

3.6.1 Responsible Offices shall adhere to each of the following rules:

- a. Use NPR 1450.10 to supplement the style requirements found in this NPR.
- b. Verify the accuracy of all position and office titles cited.
- c. Exclude caveat phrases (e.g., "as applicable," "as appropriate," "whenever possible," "etc.,") within requirements statements.
- d. Use the correct phrasing to denote requirements.

*Note: "Shall" indicates that an action is mandatory. "May" confers discretionary privilege or permission.*

- e. Number all paragraphs.

*Note: Numbering can include alphabetic and/or numeric characters.*

## 3.7 Content and Structure of NPDs

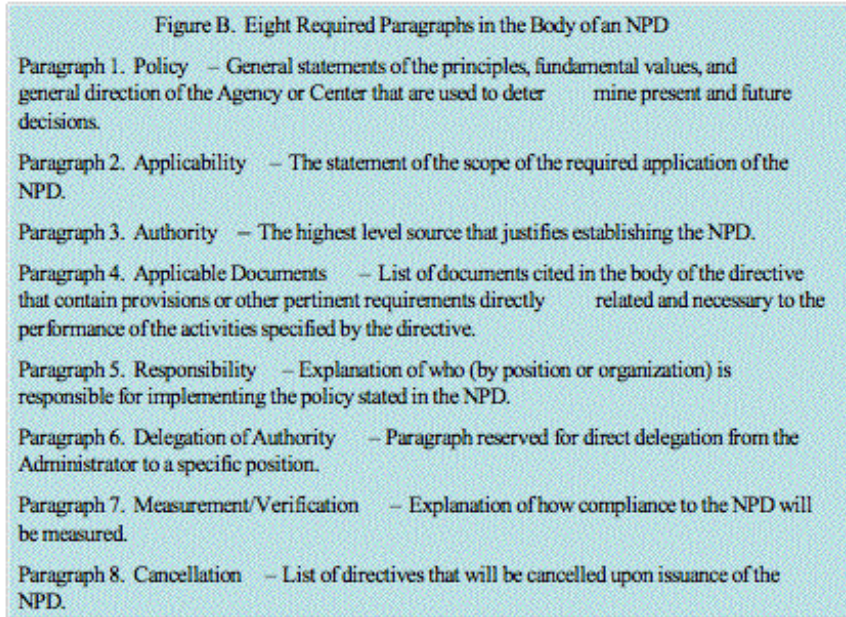
3.7.1 NPDs document Agency-level policy statements, assignment of responsibilities for policy implementation, delegations of authority, approach for verification of compliance with the NPD, and the Administrator's approval.

3.7.2 NPDs are usually four pages or less.

3.7.3 NPDs contain the following elements:

- a. Masthead: Directive Number, Effective Date, Expiration Date, Responsible Office, and Subject (Title).
- b. Body consisting of eight required paragraphs: 1. Policy; 2. Applicability; 3. Authority; 4. Applicable Documents; 5. Responsibility; 6. Delegation of Authority; 7. Measurement/Verification;

and 8. Cancellation. See Figure B.



c. Signature Block. (Populated by NODIS.)

d. Attachments.

e. Distribution.

3.7.4 Responsible Offices shall ensure that NPDs developed contain the elements listed in paragraph 3.7.3.

3.7.5 Responsible Offices shall adhere to the following content requirements when developing NPDs.

a. For Paragraph 2, Applicability, include the following applicability statement: "This NPD is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers."

b. If the NPD is to apply to JPL, contractors, or grant recipients, add the following applicability statement in Paragraph 2, Applicability, in addition to the applicability statement in paragraph 3.7.5.a. "This language applies to JPL, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements."

*Note: This statement alone is not sufficient to stipulate requirements for the contractor or grant recipient. The contract, grant, or agreement must state the requirement(s) from the NPD that apply.*

c. For Paragraph 3, Authority, and Paragraph 4, Applicable Documents, apply the requirements in paragraph 3.4 on document citations.

d. For Paragraph 5, Responsibility, write responsibility statements for implementation by the highest organization level possible.

e. For Paragraph 5, Responsibility, do not dictate how an organizational leader is to organize or assign responsibilities within the leader's organization.

f. For Paragraph 7, Measurement/Verification, specify the information that is needed to support senior management's evaluation of performance for compliance and implementation of the policy stated in the NPD being developed. Where quantitative evaluation is possible, identify what data is to be collected, who collects the data, and who receives the data for evaluation.

*Note: This information may be presented as text within the paragraph, a verification matrix as an attachment to the NPD, a citation to an NPR, or a citation of another requirements document.*

g. For Paragraph 7, Measurement/Verification, cross-reference measurement/verification data that responds to externally-imposed requirements to provide traceability to those requirements, for example, Government Performance and Results Act reporting requirements.

h. For Paragraph 8, Cancellation, if the NPD cancels one or more directives, cite the Directive Number(s), Title(s), and effective date(s). If the NPD does not cancel a directive, state "None."

i. If there is a need to include definitions or other material such as details regarding measurement/verification to support the NPD, document the supporting material as an attachment.

*Note: NPDs may have up to two attachments; attachments may be text and/or graphics.*

j. Designate the attachment that documents definitions as Attachment A.

k. In an attachment that provides definitions, list the definitions in alphabetical order and number as A.1, A.2, and so forth.

l. In an attachment that provides definitions, provide only definitions for terms used in the NPD and only if the definitions are uniquely different than used in dictionaries or other standard usage.

m. If the distribution of the NPD is to be restricted to NASA-only, include in the distribution a statement to identify the restrictions for release of the NPD.

3.7.6 Responsible Offices shall not document procedural information in an NPD.

## 3.8 Content and Structure of NPRs

3.8.1 NPRs document procedural direction for essential or otherwise mandated items only. This includes procedural requirements that are established for reasons of health, safety, security, efficiency, and effectiveness.

3.8.2 NPRs contain the following elements:

a. Cover that includes the masthead with the Directive Number, Effective Date, Expiration Date, Responsible Office, and Subject (Title).

b. Table of contents.

c. Distribution statement.

d. Preface consisting of six required paragraphs: P.1 Purpose; P.2 Applicability; P.3 Authority; P.4 Applicable Documents; P.5 Measurement/Verification; and P.6 Cancellation. See Figure C.

e. Chapters.

f. Appendices.



Figure C. Six Required Paragraphs in the Preface of an NPR

Paragraph P.1. Purpose – Description of the rationale for establishing the NPR and what will be accomplished by implementing the NPR.

Paragraph P.2. Applicability – The statement of the scope of the required application of the NPR.

Paragraph P.3. Authority – The NPD and the higher level external authority(ies)/requirement(s) that justify establishing the NPR.

Paragraph P.4. Applicable Documents – List of documents cited in the body of the directive that contain provisions or other pertinent requirements directly related and necessary to the performance of the activities specified by the directive.

Paragraph P.5. Measurement/Verification – Explanation of how compliance to the NPR will be measured.

Paragraph P.6. Cancellation – List of documents that will be cancelled upon issuance of the NPR.

3.8.3 Responsible Offices shall ensure that NPRs developed contain the elements listed in paragraph 3.8.2.

3.8.4 Responsible Offices shall adhere to the following content requirements when developing NPRs:

- a. If the distribution of the NPR is to be restricted to NASA-only, include in the distribution a statement to identify the restrictions for release of the NPR.
- b. For Preface Paragraph P.2 Applicability, include the following applicability statement: "This NPR is applicable to NASA Headquarters and NASA Centers, including Component Facilities and Technical and Service Support Centers."
- c. If the NPR is to apply to JPL, contractors, or grant recipients, add the following applicability statement in Preface Paragraph P.2 Applicability, in addition to the applicability statement in paragraph 3.8.4.b. "This language applies to JPL, other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements."

*Note: This statement alone is not sufficient to stipulate requirements for the contractor or grant recipient. The contract, grant, or agreement must state the requirement(s) from the NPR that apply.*

- d. For Preface Paragraph P3, Authority, designate the NPD that the NPR is intended to implement. Also designate the external requirements, if any, such as statutes, regulations, or Executive Orders. This latter category shall include only those external sources that are authority for the NPR; all other external sources shall be placed in the Applicable Documents or References sections, as appropriate.

*Note: The authority(ies)/requirement(s) designated in the Authority section of the NPR takes precedence over the requirement(s) in the NPR in cases of conflict.*

- e. For Preface Paragraph P.4 Applicable Documents, apply the requirements in paragraph 3.4 on

document citations.

f. For Preface Paragraph P.5 Measurement/Verification, specify the information that is needed to support senior management's evaluation of performance for compliance and implementation of the requirements stated in the NPR being developed. Where quantitative evaluation is possible, identify what data is to be collected, who collects the data, and who receives the data for evaluation.

Note: This information may be presented as text within the paragraph, a verification matrix appendix to the NPR that includes details of data and reporting of data, such as formats and timelines, a citation to a separate NPR, or a citation of another requirements document.

g. For Preface Paragraph P.5 Measurement/Verification, cross-reference measurement/verification data that responds to externally-imposed requirements to provide traceability to those requirements, for example, Government Performance and Results Act reporting requirements.

h. For Preface Paragraph P.6 Cancellation, if the NPR cancels one or more NPRs, cite the Directive Number(s), Title(s) and effective date(s). If the NPR does not cancel a directive, state "None."

*Note: NPRs may not cancel NPDs.*

j. Ensure Appendices do not contain requirements, only supporting information for the NPR.

k. Document any definitions for words and phrases used in the NPR in the first appendix and number as A.1, A.2, and so forth.

l. Document any acronyms used in the NPR no later than in the second appendix and order alphabetically.

m. If a verification matrix appendix is included within the NPR, include it no later than the third appendix.

*Note: NPR 7120.5, NASA Program and Project Management Processes and Requirements, and NASA-STD-8719.13, Software Safety Standard, Appendix B, provide examples of a verification matrix appendix.*

3.8.5 In accordance with the Strategic Management and Governance Handbook and the NASA Strategic Plan, there are only three Agency-level management councils, the Strategic Management Council, the Program Management Council, and the Operations Management Council. In the past, NPD 1000.3B, The NASA Organization, housed the charters for all Agency-level councils, boards, committees, and panels. With the issuance of NPD 1000.3C, dated February 15, 2007, only the three governing charters will be identified. The Office of Internal Controls and Management Systems will house Agency-level advisory charters in the NODIS library.

## **3.9 Content and Structure of NASA Interim Directives (NIDs)**

3.9.1 Responsible Offices shall develop NIDs to document the following:

- a. Interim policy statements.
- b. Assignment of interim responsibilities for policy implementation.
- c. Interim requirement statements.
- d. Assignment of interim responsibilities for completing requirements.

3.9.2 NIDs include policy memos or any other issuance intended to impose policy or requirements at the Agency level.

3.9.3 NIDs are issued for immediate or short-term use (see paragraph 3.5.2.3).

3.9.4 Responsible Offices shall follow the procedures contained in paragraph 4.5 for issuing NIDs.

3.9.5 Responsible Offices shall coordinate with the Office of Internal Controls and Management Systems to ensure that NIDs are added to the NODIS library.

## **3.10 Center Directives**

3.10.1 Centers may issue directives when no Agency-level directive exists that provides the required policy or instruction, or an Agency-level directive does not provide adequate policy or instruction, or when a situation is unique to a particular Center.

*Note: It is up to the discretion of Center management to determine whether Agency-level directives are sufficient, or if more specific requirements are needed by the Center.*

3.10.2 Center directives writers shall follow the content and structure requirements contained in this NPR that are applicable to Center directives.



# CHAPTER 4. Process Requirements for Establishing New NASA Directives, Updating Existing Directives, and Establishing Interim Directives

## 4.1 Introduction

4.1.1 The NODIS Document Management System (DMS) is NASA's primary tool for creating, revising, reviewing, approving, publishing, and canceling Agency-level directives. The NODIS DMS provides an electronic means to create, review, and comment on draft documents, disposition comments, concur in the directives, approve the directives, control revisions, track document history, generate reports, and publish Agency-level directives. All Agency-level directives shall be developed through the NODIS DMS.

4.1.2 The NODIS DMS coordination process shall not be used to impede the Agency's legal obligations with respect to mission accomplishment, protection of worker health and safety and protection of the public, protection of the environment, or national security.

## 4.2 Waivers from Agency-level Directives

*Note: The basic concept for waiver approval is that the Responsible Office, or delegated authority, is best able to determine whether the requirement can be waived without negative impact. Those who are seeking relief from implementing a requirement can submit a written request, with justification, for approval. Organizations will be informed of approved waivers. The Office of Internal Controls and Management Systems will post approved waivers in NODIS for information.*

4.2.1 Only the Administrator or the OIC of Headquarters Office who is responsible for the Agency-level directive, or delegated authority, may waive requirements contained in the Agency-level directive.

4.2.2 The responsible OIC of Headquarters Office for the directive may delegate waiver approval authority to a lower level by documenting the delegation in the directive.

4.2.3 The waiver approval authority may approve a waiver only if it meets all of the following criteria:

- a. Is not prohibited by external requirements.
- b. Would not present an undue risk to public health, safety, the environment, or personnel.
- c. Is justified under the circumstances (see paragraph 4.2.7 for instructions on how to prepare a justification for waiver).

4.2.4 The waiver approval authority shall only approve waivers that are based upon specific requirements within the directive.

4.2.5 The waiver approval authority shall only approve waivers for a specific period or duration.

*Note: The specific period or duration may be defined by calendar dates (i.e., From March 2006 to March 2008) or by project milestones (i.e., This waiver is in effect until disposal for XYZ Project).*

4.2.6 The waiver approval authority shall notify all who have current waivers against a directive when the directive is reviewed, and request verification of continued validity.

4.2.7 NASA officials who request waivers shall document the following in the request for waiver:

a. Identification of the requirement (Directive and specific requirement(s)) for which the waiver is requested.

b. Scope (e.g., site, facility, operation, activity) and duration of the waiver request.

c. Justification for the waiver, including:

(1) Purpose/Rationale for requesting the waiver.

(2) Whether the application of the requirement in the particular circumstances described would conflict with another requirement.

(3) Whether application of the requirement in the particular circumstances would not achieve, or is not necessary to achieve, the underlying purpose of the requirement.

(4) Any other pertinent data or information related to the waiver request (e.g., cost or schedule considerations).

(5) Identification and justification of the acceptance of any additional risk that will be incurred if the waiver is granted.

d. Requests for waivers to environment, safety, health, and security requirements shall also address the following:

(1) A description of any special circumstances that warrant granting of the waiver, including whether a) application of the requirement in the particular circumstances would not be justified by any safety and health reason; b) the waiver would result in a health and safety improvement that compensates for any detriment that would result from granting the waiver; or c) there exists any other material circumstances not considered when the requirement was adopted for which it is in the public interest to grant a waiver.

(2) A description of any alternative or mitigating action that will be taken to ensure adequate safety and health and protection of the public, the workers, and the environment for the period the waiver will be effective.

4.2.8 Waiver approval authorities shall forward an electronic version of the approved waiver to the Office of Internal Controls and Management Systems for inclusion in the NODIS library within 5 working days of approving the waiver.

## **4.3 Establishing A New Policy Directive or Procedural Requirements**

4.3.1 Responsible Offices for Agency-level directives shall use the NODIS DMS to create, coordinate, and approve any new NPD or NPR.

4.3.2 Responsible Offices for Center directives shall use local Center processes to create, coordinate, and approve any CPD or CPR.

4.3.3 Responsible Offices shall ensure that their Directives Manager is notified prior to beginning the process to establish a new directive.

4.3.4 Prereview Process (Generally referred to as Pre-NODIS Review)

4.3.4.1 The prereview process provides an opportunity for review and comment prior to the formal review to address substantive issues in order to facilitate the completion of NASA directives within the timeframe allotted. Should a Responsible Office choose to conduct a prereview, the following are standard steps in the prereview process.

a. The Responsible Office for the directive creates a draft of the new directive or the revised directive and distributes it to those affected by the directive and to those offices that the Responsible Office believes should review the draft.

*Note: Local processes for prereview may have an established distribution list for directives prereviews. Consult with your local Directives Manager.*

b. The Responsible Office for the directive determines the methodology for conducting the prereview.

Note: The Open Review System (<https://openreview.gsfc.nasa.gov/ORSHome.cfm>) is a tool that may be used to coordinate a prereview.

c. The Responsible Office coordinates, consolidates, and dispositions comments in preparation for the official review of the directive.

4.3.5 Prior to Official Review and Approval

The Responsible Office shall submit directives (i.e., new or revised) to the Office of Human Capital Management in order to satisfy the Agency's obligation to provide the Agency's unions with a 30-day national consultation period. Confirmation that this coordination has been completed will be required on NASA Form 184 in order for the Office of Internal Controls and Management Systems to accept the directive into the NODIS system.

4.3.6 Official Review and Approval

4.3.6.1 The official review and approval processes for Agency and Center-level directives may be different. Headquarters and Center Officials responsible for establishing official review and approval process at their location shall ensure that the process includes, at a minimum, the following steps:

a. Release of the draft directive utilizing an approved method and/or forms for an official review.

b. Notification and request for review by specified organizations. This may include provisions to allow organizations an opportunity to request to be added or removed from the review.

*Note: For Agency-level directives, the Inspector General is a mandatory reviewing office. The Responsible Office is responsible for completely dispositioning the Inspector General's comments.*

c. Review by the legal office (General Counsel for Agency-level directives; Chief Counsel for Center directives).

- d. Sufficient instructions to reviewers to ensure the review adheres to the approved process and schedule.
- e. A mechanism to provide feedback to reviewers indicating how their comments were incorporated, or rationale for not incorporating the reviewer's comments.
- f. For Agency-level directives, in the request for review, the Responsible Office shall include an explanation of the potential impact of the new requirements, in terms of technical, financial, human resources, and potential for unintended consequences.

*Note: Space for the explanation of potential impact is provided on the NHQ Form 184, NASA Directive Request Summary in NODIS. See Appendix F for a sample explanation of potential impact.*

#### 4.3.7 The Concurrence Process

##### 4.3.7.1 The lead Directives Manager shall review and concur in all directives.

*Note: For Headquarters, this is the Agency Directives Management Team, Office of Internal Controls and Management Systems. For Centers, this is the Center Directives Manager. This concurrence demonstrates that the lead Directives Manager has verified that the directive was prepared and processed in accordance with the applicable procedures.*

##### 4.3.7.2 The legal office shall concur in all directives (General Counsel for Agency-level directives; Chief Counsel for Center directives).

##### 4.3.7.3 If, during the concurrence process, a reviewing official's nonconcurrence cannot be resolved with the Responsible Office, the Responsible Office shall document the nature of the impasse in the signature package.

##### 4.3.7.4 If reviewing offices fail to respond or reply by the suspense date, the Responsible Office is permitted to assume that office's concurrence.

#### 4.3.8 Signature Package for Agency-level Directives

##### 4.3.8.1 The Responsible Office shall prepare a final signature package that includes the following:

- a. Evidence of concurrence and the approval of the responsible OIC.
- b. The original of the proposed directive.
- c. A disposition of comments summary.
- d. A copy of the submitted comments and their disposition.
- e. Any additional documents that convey executive direction and supporting material.
- f. One copy of each directive to be cancelled by the proposed directive when it is approved.
- g. An explanation of the potential impact (e.g., cost, technical, human resources).

##### 4.3.8.2 If any reviewing official has nonconcurred on the directive, the Responsible Office shall document the disagreement as part of the Executive Summary of the signature package, including:

- a. An explanation for the nonconcurrence.

- b. A discussion of the way in which the Responsible Office attempted to resolve the impasse and the outcome of those attempts.
- c. The reason(s) the impasse remains unresolved.
- d. The recommendation of the Responsible Office.

4.3.8.3 If an impasse is reached between the Responsible Office and the Inspector General, the Responsible Office shall also document the impasse in the Executive Summary of the signature package.

4.3.8.4 The Directives Manager shall process the final package for signature according to approved local procedures.

4.3.9 Signature Packages for Center Directives. Center Responsible Offices shall use established Center instructions to prepare signature packages for Center Directives.

#### 4.3.10 Final Approval

All NPDs are signed by the NASA Administrator. NPRs are signed by the OIC of the Headquarters Office responsible for the procedural requirements or the NASA Administrator. CPDs and CPRs are signed by Center Directors or designees. When signed, a directive becomes an official NASA directive and shall be controlled in an electronic documentation library. Agency-level directives are controlled in NODIS. Center Directives are controlled in electronic libraries established at each Center.

## 4.4 Revising, Revalidating, or Providing Administrative Corrections to an Existing Policy Directive or Procedural Requirements

4.4.1 Responsible Offices that need to revise an existing directive to reflect changes in policy or procedural requirements shall submit the directive for review and approval in the same manner as a new directive (see paragraph 4.3).

Note: If the change to the directive only impacts limited, discrete portions (paragraphs) of the directive, the Responsible Office may elect to only submit the paragraph changes for formal review and approval, as opposed to the entire document. However, if the Office of Internal Controls and Management Systems believes the changes are too extensive for a paragraph review, the Office of Internal Controls and Management Systems may require a review of the entire document.

*Note: The explanation of potential impacts (see paragraph 4.3.6.1.f) for revised directives need only discuss the impact of the revisions, not existing requirements.*

4.4.2 If a directive is due to expire, but the directive is current, necessary, and requires no changes, or only minor administrative changes (e.g., updates to document citations, office or position titles, or references to other established policy or externally mandated instruction that may not be altered or edited), the Responsible Office may request to revalidate the directive for a period not to exceed five years.

*Note: Explanations of potential impacts (see paragraph 4.3.5.1.f) are not required for revalidations.*

*Note: Revalidations are not be allowed on any directive that does not meet the format*

*and content requirements found in this NPR.*

a. The Office of Internal Controls and Management Systems coordinates the revalidation process using the following process:

(1) The Responsible Office provides an e-mail request to the Office of Internal Controls and Management Systems with a list of the changes (or an electronic version of the directive showing the changes).

(2) The Office of Internal Controls and Management Systems provides e-mail notification of the intent to revalidate the directive to all Directives Managers on an exception-only basis.

(3) If there are no objections, the Office of Internal Controls and Management Systems revalidates the directive and extends the expiration date.

(4) If there are objections, the Office of Internal Controls and Management Systems determines whether the objections are valid and either approves the revalidation or requests that the document be submitted for formal review and approval.

4.4.3 If the Responsible Office needs to make administrative corrections (e.g., fixing typographical errors, updating office titles) during the life cycle of the directive, the Responsible Office may submit a request for administrative changes via e-mail to the Office of Internal Controls and Management Systems.

*Note: Only the review and concurrence of the Office of Internal Controls and Management Systems is needed to make administrative corrections. If the Office of Internal Controls and Management Systems believes that the proposed administrative corrections change the directive's requirements, the Office of Internal Controls and Management Systems may require a formal review of the changes/corrections.*

4.4.4 For Center directives, local instructions for revising, revalidating, and making administrative corrections apply.

## **4.5 Creating a NASA Interim Directive (NID) or Center Interim Directive (CID)**

4.5.1 The Responsible Office shall:

a. Secure written approval from the OIC and other approvals as established within the local process for the proposed interim directive (policy/requirement).

b. Document the urgent requirement for issuing an interim directive.

c. Submit the interim directive to the Directives Manager or designated organization for processing.

d. Obtain concurrence from the Office of the General Counsel for legal review.

e. Obtain concurrence from the Office of Human Capital Management to satisfy the Agency's obligation to provide the Agency's unions with a 30-day national consultation period.

f. Obtain concurrence from the Office of Procurement if the NID impacts NASA contracts, contractors, grants, or grantees.

g. Obtain concurrence from the Office of the Chief Financial Officer to ensure proper financial



consideration.

*Note: For Agency-level directives, consult with the Office of Internal Controls and Management Systems; for Center Directives, consult the Center Directives manager.*

4.5.2 The Office of Internal Controls and Management Systems shall include NIDs in the NODIS Library.

4.5.3 For Center Interim Directives, local instructions for creating interim directives apply.

## **4.6 Hyperlinking Other Documentation to the NODIS Library or Center Directives Library Systems**

4.6.1 When a Responsible Office determines that a standard, work instruction, or guide is useful, but not appropriate for inclusion as a directive, the Responsible Office may use hyperlinking to make the related documentation available through the online directives system.

a. For Agency-level directives, the Responsible Office shall coordinate this with the Office of Internal Controls and Management Systems.

b. For Center directives, the Responsible Office shall coordinate this with the Center Directives Manager.

## **4.7 Case Files**

4.7.1 The Office of Internal Controls and Management Systems shall manage Agency-level directives case files that include all the material included in the Approving Official's Signature Package.

4.7.2 Center directives case files are managed according to the Center's process.



# APPENDIX A. Definitions

A.1 Agency-level directive. A directive with Agency-wide applicability; i.e., NASA Policy Directives (NPDs), NASA Procedural Requirements (NPRs), and NASA Interim Directives (NIDs).

A.2 Authority. The source from which a requirement is drawn; the organization responsible for imposing the requirement.

A.3 Center directive. A directive with Center-specific applicability; e.g., Center Policy Directives (CPDs); Center Procedural Requirements (CPRs); and Center Interim Directives (CIDs).

A.4 Center Interim Directive (CID). CIDs provide an immediate, short-term statement of the Center's policies and requirements and responsibilities for implementation.

A.5 Center Policy Directive (CPD). CPDs define Center-specific policy requirements and responsibilities.

A.6 Center Procedural Requirements (CPR). CPRs establish Center-specific procedural requirements and responsibilities to implement the policies and procedural requirements defined in related NPDs, NPRs, or CPDs.

A.7 Contextual information. Background information, such as history or rationale for a requirement, or other descriptive information or examples that help clarify the actual requirement statement.

A.8 Disposition of Comments. A documented response explaining how reviewers' comments will be applied to the draft directive.

A.9 Guidance. A statement of expectation that does not mandate compliance.

A.10 NASA Directive. A NASA document that transmits information required by law, the President, the NASA Administrator, or other senior NASA official that applies to all NASA activities or to a single NASA Center on the way they initiate, govern, or control actions. NASA directives include: NASA Policy Directives (NPD), NASA Procedural Requirements (NPR), NASA Interim Directives (NID), Center Policy Directives (CPD), Center Procedural Requirements (CPR), and Center Interim Directives (CID).

A.11 NASA Directives System. The tools and processes used to create and promulgate NASA directives.

A.12 NASA Interim Directives (NID). NIDs provide an immediate, short-term statement of the Agency's policies and requirements and responsibilities for implementation.

A.13 NASA Online Directives Information System (NODIS). The NASA Online Directives Information System (NODIS) is a full-function, web-based document management system (DMS) with a separate Library for the search and retrieval of approved directives and related policy documents. The NODIS DMS is used for the creation, review, revision control, concurrence, approval, publication and maintenance of directives, and generation of associated reports. The NODIS Library provides for full text searching of Agency and Center Directives. It also provides links to other policy governing the Agency, including: NASA Technical Standards, Code of Federal Regulations, Executive Orders, Federal Register, OMB Circulars, Congressional Record, the U.S. Code, Congressional Bills, NASA Financial Management Manuals, the Catalog of U.S. Government Publications, ASQ Library, and Headquarters Management System Documents.

A.14 NASA Policy Directive (NPD). NPDs are policy statements that describe what is required by

NASA management to achieve NASA's vision, mission, and external mandates and who is responsible for carrying out those requirements.

A.15 NASA Procedural Requirements (NPR). NPRs provide Agency requirements to implement NASA policy as delineated in an associated NPD.

A.16 Policy. A policy describes the philosophies, fundamental values, and general direction of the Agency or Center that are used to determine present and future decisions. Because established policies are general in nature, they may need more specific requirements established in procedural requirements for full implementation.

A.17 Requirement. A requirement is a statement of mandatory instruction that an employee or organization has to perform or a statement of form or function that a piece of equipment or system has to meet.

A.18 Responsible Office. Office that has responsibility for the development, maintenance, and verification of a directive.

A.19 Revalidation. The process for renewing a NASA directive when the directive is current, necessary, and requires no changes, or only minor administrative changes (e.g., updates to document citations, office or position titles, or references to other established policy or externally mandated instruction that may not be altered/edited).

A.20 Verification. The process of proving or demonstrating that requirements have been satisfactorily met.

A.21 Waiver. A written authorization to depart from a specific directive requirement.

# APPENDIX B. Acronyms

CID	Center Interim Directive
CPD	Center Policy Directive
CPR	Center Procedural Requirements
DMS	Document Management System
JPL	Jet Propulsion Laboratory
NASA-STD	NASA Technical Standard
NHQ	NASA Headquarters
NID	NASA Interim Directive
NODIS	NASA On-line Directives Information System
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
OIC	Official-in-Charge

# APPENDIX C. Relationship between Directives and Other NASA Documents

C.1 NASA directives work in conjunction with other NASA documents such as plans, manuals, NASA Technical Standards, and work instructions. NASA directives provide the overarching requirements which serve as the framework for lower level NASA internal organizational and task requirements.

## C.1.1 Relationship between NASA Directives and Plans

C.1.1.1 Planning documents, such as Mission Directorate implementation plans, the Mission Support Implementation Plan, and the Human Capital Plan (described in NPD 1000.0, Strategic Management and Governance Handbook), and program/project plans typically describe activities focused in a discrete area. Directives establish the master requirements applicable to all entities across NASA while plans describe goals, objectives, and requirements applicable to very specifically defined elements of NASA.

C.1.1.2 Plans are typically developed, approved, and controlled outside of the NASA Directives System.

## C.1.2 Relationship Between NASA Directives and Manuals

C.1.2.1 Manuals typically identify process requirements for employees within a single work unit or functional area.

C.1.2.2 Manuals may supplement NASA directives and provide more instruction about how the provisions of those directives are carried out within the work unit or functional area. Manuals may also provide supplemental information about acceptable methods for implementing requirements, including lessons learned, suggested practices, instructions, and suggested performance measures. Manuals typically are written to a greater level of detail than NASA directives.

C.1.2.3 Manuals are typically developed, approved, and controlled outside of the NASA Directives System.

C.1.2.4 Manuals that implement NASA directives are typically hyperlinked to their associated NASA directives.

## C.1.3 Relationship Between Directives and NASA Technical Standards

C.1.3.1 NASA Technical Standards may be applied to programs/projects executed internally or under contract. Tailoring of these standards is a program/project responsibility and is to be approved by the governing Technical Authority.

C.1.3.2 NASA Technical Standards may also be referenced as guidance on acceptable methods for meeting requirements of NASA directives, lessons learned, and recommended practices.

C.1.3.3 NASA Technical Standards are developed, approved, and controlled by NPD 8070.6, Technical Standards, rather than by this Directive (NPR 1400.1).

## C.1.4 Relationship Between Directives and Work Instructions

C.1.4.1 Work instructions typically document the instructional requirements applied to an individual organization that define the processes used to deliver products or services to customers or to meet

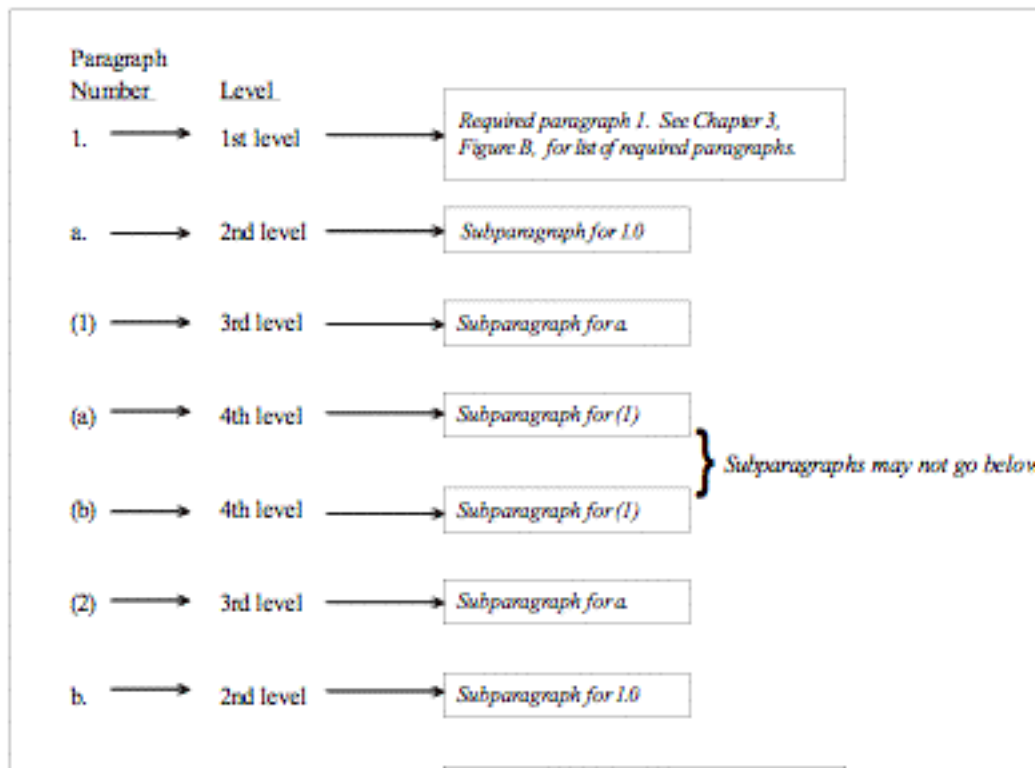
the organization's mission requirements.

C.1.4.2 Work instructions represent the translation of the Agency's strategic requirements and NASA directives down to the level for detailed application to individual employees or work groups.

C.1.4.3 Work instructions are typically developed, approved, and controlled outside the NASA Directives System. Typically the requirements for work instructions fall under the scope of the NASA Management System as defined in NPD 1280.1, NASA Management System Policy. These documents may be included in the Directives system's documentation libraries.

# APPENDIX D. Sample Numbering of NPD and NPR Paragraphs

## D.1 NPD - Paragraph Numbering



## D.2 NPR - Paragraph Numbering

### D.2.1 Preface paragraphs are numbered as follows:

**Effective Date:**

**Preface:**

## **P.1 PURPOSE**

a.

(1)

(a)

(b)

(2)

b.

## **P.2 APPLICABILITY**

## **P.3 AUTHORITY**

## **P.4 APPLICABLE DOCUMENTS**

## **P.5 MEASUREMENT/VERIFICATION**

D.2.2 Chapters are numbered as follows:



**Chapter 1: Title (level 1)****1.1 (level 2) Lists within a sentence are lettered as follows:****a. Lists within list are numbered:****(1) Lists within list are numbered as follows:****(a)****(b)****(2)****b.****1.1.1 (level 3) Subparagraph number.****1.1.1.1 (level 4) Subparagraph number.**

D.2.3 Appendices are lettered--Appendix A: Title; Appendix B: Title. If the appendix is created by the Responsible Office, each internal paragraph will be numbered, and the first number will be the letter of the appendix (see numbering in the appendices of this NPR for examples). If the appendix is a document not controlled by the Responsible Office, the author's internal numbering is sufficient.

# APPENDIX E. Sample NPD and NPR

## E.1 Sample NPD

[| NODIS Library](#) | [Organization and Administration\(1000s\)](#) | [Search](#)



### NASA Policy Directive

COMPLIANCE IS MANDATORY

NPD 1400.11

Effective Date: March 03, 2005

Expiration Date: March 03, 2010

#### **Subject: Documentation and Promulgation of Internal NASA Requirements**

**Responsible Office: Office of Infrastructure and Administration**

[Agency-level Directives Management Process, NM 1400-28](#)

#### **1. Policy**

a. NASA's policy is to establish, document, and promulgate internal NASA requirements where necessary to fulfill the Agency's vision, mission, and external mandates.

(1) An internal NASA requirement is a statement of mandatory instructions, imposed by NASA, that a NASA employee or organization must perform or a statement of form or function that a piece of equipment or system must meet.

(2) An internal NASA requirements document is any document used to record and communicate the internal requirements and responsibilities necessary to fulfill the Agency's vision, mission, and external mandates.

b. All internal NASA requirements documents shall:

(1) Support the fulfillment of NASA's vision, mission, or external mandates. (See NPD 1000.1, The NASA Strategic Plan.)

(2) Be developed and controlled by a documented process.

(3) Be clearly labeled as containing requirements.

(4) Be made available Agencywide to those who need them.

(5) Be verifiable.

(6) Be current.

c. NASA's policy states that when internal NASA requirements meet and exceed external requirements, thereby making internal requirements more stringent, internal NASA requirements shall apply. (See Attachment B for examples of external

d. NASA directives shall take precedence over all other internal NASA requirements. The flow and order of precedence for internal NASA documents are described in Attachment B. The following documents constitute NASA directives:

(1) NASA Policy Directive (NPD). NPDs are policy statements that describe what is required by NASA management to achieve NASA's vision, mission, and external mandates and who is responsible for carrying out those requirements. An NPD may be referenced by one or more NASA Procedural Requirements (NPR), Center Policy Directives (CPD), Center Procedural Requirements (CPR), or other internal requirements. NPDs shall apply to NASA Headquarters and NASA Centers, including Component Facilities. The signatory authority for NPDs shall be the Administrator. (See NPR 1400.1, NASA Directives System Procedural Requirements.)

(2) NASA Procedural Requirements (NPR). NPRs provide Agency mandatory instructions and requirements to implement NASA policy as delineated in an associated NPD. All NPRs shall relate to an NPD(s). NPRs apply to NASA Headquarters and NASA Centers, including Component Facilities. The signatory authority for NPRs shall be the Official-in-Charge (OIC) of the Headquarters Office originating the NPR (See NPD 1000.3, The NASA Organization, 1.2.2 Officials-in-Charge (OIC) of Headquarters Offices) or the Administrator.

(3) NASA Interim Directive (NID). NIDs provide an immediate, short-term statement of the Agency's policies and responsibilities for policy implementation. NIDs shall be issued with a mandatory expiration date not to exceed 12 months from the date of issuance. NIDs shall apply to NASA Headquarters and NASA Centers, including Component Facilities. The signatory authorities for NIDs shall be the Official-in-Charge of the Headquarters Office originating the NID or the Administrator.

(4) Center Policy Directive (CPD). CPDs define Center-specific policy requirements and responsibilities. CPDs shall comply with requirements delineated in associated NPDs or NPRs. CPDs shall apply only to the issuing Center and operations performed by NASA personnel at that Center. Center Directors, or designee(s), shall be the signatory authority for CPDs.

(5) Center Procedural Requirements (CPR). CPRs establish Center-specific procedural requirements and responsibilities to implement the policies and procedural requirements defined in related NPDs, NPRs, or CPDs. CPRs shall apply only to the issuing Center and operations performed by NASA personnel at that Center. Center Directors, or designee(s), shall be the signatory authority for CPRs.

(6) Center Interim Directive (CID). CIDs provide an immediate, short-term statement of the Center's policies and responsibilities for policy implementation. CIDs shall be issued with a mandatory expiration date not to exceed 12 months from the date of issuance. CIDs shall apply only to the issuing Center and operations performed by NASA personnel at that Center. Center Directors, or designee(s), shall be the signatory authority for CIDs.

e. Internal NASA documents other than directives, such as the examples mentioned in Attachment A, become requirements when a directive specifies its use or when a NASA manager with authority over a NASA program, project, or other activity, identifies it as a requirement.

a. This NPD is applicable to NASA Headquarters and NASA Centers, including Component Facilities.

b. This NPD is applicable to internal NASA requirements developed or revised after the effective date of this NPD.

### **3. Authority**

a. 42 U.S.C. Sec. 2473 (c)(1), Section 203(c)(1) of the National Aeronautics and Space Act of 1958, as amended.

b. 41 CFR Part 102-193, Creation, Maintenance, and Use of Records.

### **4. Applicable Documents**

a. NPD 1001.0, NASA Strategic Plan.

b. NPR 1400.1, NASA Directives System Procedural Requirements.

### **5. Responsibility**

a. The Assistant Administrator for Infrastructure, Management, and Headquarters Operations shall establish and maintain the requirements for documentation and promulgation of internal NASA requirements.

b. Officials-in-Charge of Headquarters Offices and NASA Center Directors shall ensure that all internal NASA requirements documents developed under their authority comply with the provisions of this NPD.

c. The NASA General Counsel, or designee, shall review NPDs, NPRs, and NIDs for legal propriety and provide comments during coordination and prior to the release of the document for use.

d. The Center Chief Counsel, or designee, shall review CPDs, CPRs, and CIDs for legal propriety and provide comments during coordination and prior to the release of the document for use.

e. The Inspector General, in accordance with Public Law 95-452, Section 4(a)(2), is responsible for reviewing and commenting on all directives during the Official Review Process for any impact on economy and efficiency in the administration and operations of NASA programs and to prevent and detect fraud, waste, and abuse in NASA programs.

### **6. Delegation of Authority**

None.

### **7. Measurements**

(1) Monitoring assessments, audits, and surveillance results from Officials-in-Charge of Headquarters Offices and NASA Center Directors.

(2) Monitoring whether issuance, cancellation, and revision of internal NASA requirements are being effectively disseminated.

b. Officials-in-Charge of Headquarters Offices and Center Directors shall monitor, at an interval based on the level of risk to the Agency, whether their organization's internal NASA requirements comply with the requirements in Section 1.b by:

(1) Supporting the fulfillment of NASA's vision, mission, or external mandates as evidenced by showing the internal requirement traceability to official written policy or appropriate legal authority.

(2) Demonstrating that internal requirements are developed and controlled by a documented process as evidenced by an approved written procedure on that process.

(3) Demonstrating that internal requirement documents are clearly labeled as containing requirements.

(4) Demonstrating that internal requirements are accessible to the people who use them as evidenced by having them Web-accessible folder-accessible, or accessible by other means suitable to the intended audience.

(5) Demonstrating that internal requirements are verifiable as evidenced by a stated or obvious method of proving compliance.

(6) Demonstrating that internal requirements are current as evidenced by having an expiration date that has not passed and having a documented account of periodic reviews to determine if content is up to date.

## 8. Cancellation

NPD 1400.1H, NASA Directives System, dated February 13, 2002.

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/s/ Fred Gregory  
Deputy Administrator

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## Attachment A: (Text)

Part I

## Additional References

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- c. 5 U.S.C. App., Inspector General Act of 1978, as amended.
- d. 36 CFR Chapter XII, Subchapter B, Records Management.
- e. NPD 8070.6, Technical Standards.

## Part II

### Other Internal NASA Documents

Internal NASA documents other than directives, such as the examples mentioned below, become requirements when a directive specifies its use or when a NASA manager with authority over a NASA program, project, or other activity, identifies it as a requirement.

Examples of other NASA internal documents:

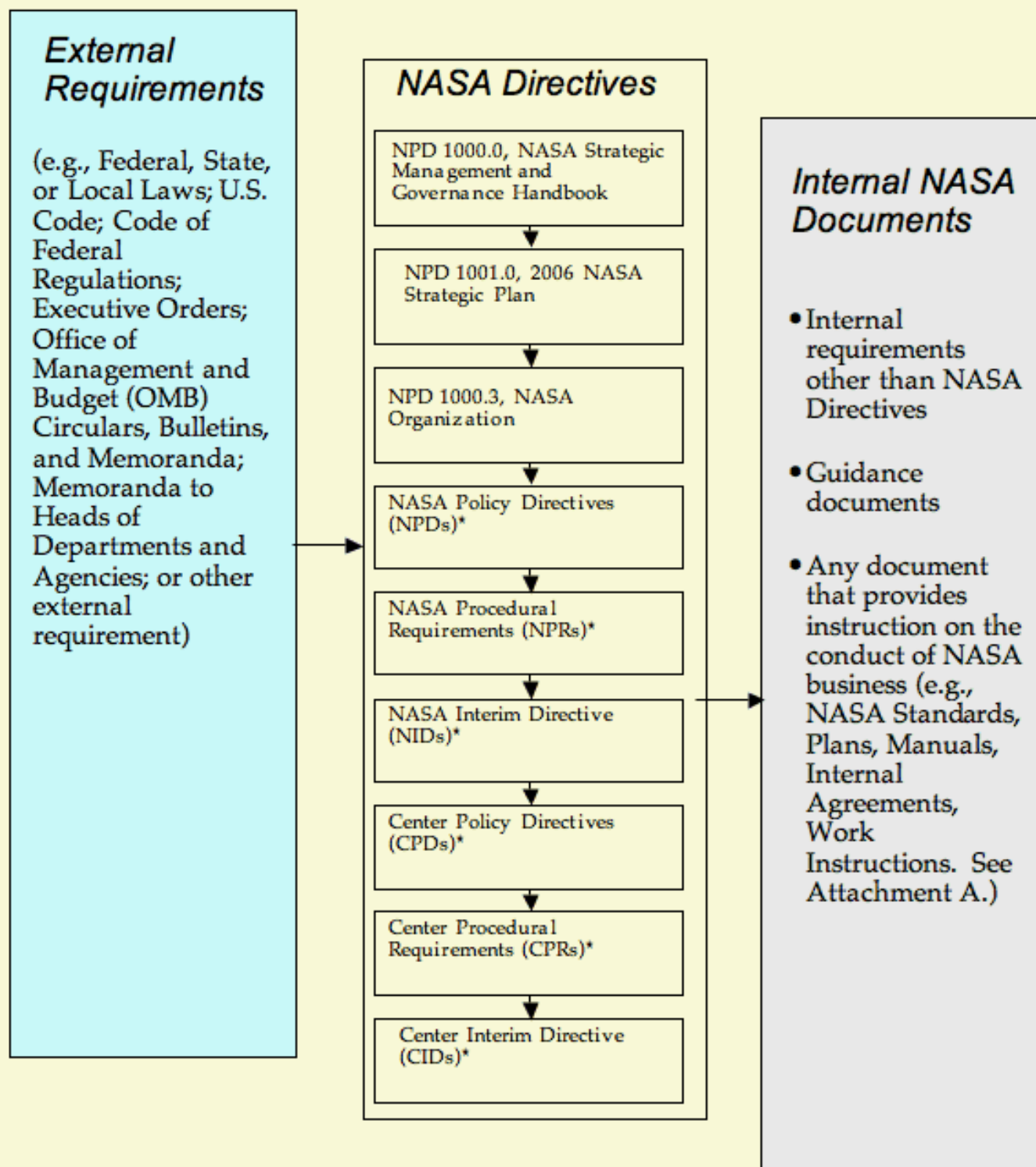
1. **NASA Technical Standards.** NASA technical standards are NASA documents that contain common and repeated use of rules, conditions, guidelines, or characteristics for products or related processes and production methods and related management systems practices. NASA technical standards may contain the definition of terms; classification of components; delineation of procedures; specification of dimensions, materials, performance, designs, or operations; measurement of quality and quantity in describing materials, processes, products, systems, services, or practices; test methods and sampling procedures; or descriptions of fit and measurements of size or strength. Within NASA the broad term "standard" may include the following specific document types: codes, guidebooks, handbooks, specifications, and standards.
2. **Plans.** Plans are NASA documents that present goals, objectives, and operational details to guide users in achieving NASA's mission. NASA's planning process starts with long-term vision and mission and flows to more focused near-term plans and documents. Appendix IV of NPD 1000.1, NASA Strategic Plan, describes the relationship among strategic and planning documents.
3. **Manuals.** Manuals are NASA documents that explain functions, outline procedures, or provide additional details for an operation. Manuals usually contain examples to help users perform specific tasks.
4. **Work Instructions.** Work instructions are NASA documents that contain instructional requirements applied to an individual organization. They define the processes used to deliver products to customers or to meet the organization's mission requirements as defined by directives.
5. **Agreements.** Agreements in the context of this NPD are NASA-documented commitments between NASA organizations or between a NASA individual and another NASA party.

### (URL for Graphic)

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## Flow and Order of Precedence



\*Note: There are multiple NPDs, NPRs, NIDs, CPDs, CPRs, and CIDs, and there may be more specific hierarchical relationships among these documents. This chart is simplified. Refer to other documents or hierarchical trees to see the relationships among various programmatic and functional areas.

## E.2 Sample NPR

E.2.1 Use this NPR (NPR 1400.1, NASA Directives System Procedural Requirements) as a sample NPR.

E.2.2 ([CLICK HERE](#) to retrieve the MS Word version of this NPR)

# APPENDIX F. Sample Explanation of Potential Impact

## Explanation of Potential Impact:

### Impact to Headquarters Responsible Offices (Offices that write directives).

*Note: This NPR does not require an immediate, complete rewrite of all NASA directives.*

- This NPR will require a substantial rewrite to most existing NASA directives, when they are revised. New requirements for Responsible Offices include preparing an impact statement, revising requirements to "shall" statements, limiting "shall" statements to one per paragraph, writing in the active voice, determining verification approach, removing guidance or moving guidance to an appendix. (Moderate increase in staff time used to develop/revise directives.)
- This NPR will require that Responsible Offices verify compliance with the requirements that they have originated. (Potential for added staff time and added travel budget if the Responsible Offices are not currently verifying compliance with the requirements they write.)
- This NPR will require Responsible Offices (or designees) to forward approved Waivers to Agency-level directives to the Office of Internal Controls and Management Systems. (Minor staff time.)

### Impact to the Office of Internal Controls and Management Systems.

- This NPR will require a modification to the NODIS system to program the NHQ 184 Form to add a field for Statement of Impact. (Minor budget impact.)
- This NPR will require a modification to the NODIS system to provide a link to waivers granted on the NODIS Web site. (Minor budget impact.)
- This NPR will require the Office of Internal Controls and Management Systems to provide additional staff time to accommodate the following:
  - Verifying compliance to content and process requirements for Agency-level directives and conducting spot checks at the Center level.
  - Monitoring the process for establishing NASA Interim Directives.
  - Monitoring identified conflicts among directives to assure resolution.
  - Including Center Directives Managers in e-mail notifications.

*(Moderate increase in staff time until processes are established; may have some budget impact if additional modifications to NODIS are required.)*

### Impact to Directives Managers (Headquarters and Centers):

- This NPR will require minor staff time from Directives Managers to accommodate the following:
  - Forwarding the Explanation of Potential Impact with the directive being processed for review.
  - Initiating resolution of conflicts among directives, if identified.

### Impact to Centers:

- This NPR will require a substantial rewrite to most existing NASA directives, when they are revised. New requirements for Responsible Offices include revising requirements to "shall" statements, limiting "shall" statements to one per paragraph, writing in the active voice,

determining verification approach, removing guidance or moving guidance to an appendix.

(Moderate increase in staff time used to develop/revise directives.)

- This NPR will require Centers to establish provisions to accommodate new requirements, such as Interim Directives, adding them to electronic libraries, and establishing Center procedures for approvals. (Moderate increase in staff time and budget impact upfront to establish the procedures, then, minor staff time to implement.)
- This NPR will require that Responsible Offices verify compliance with the requirements that they have originated. (Potential for added staff time if the Responsible Offices are not currently verifying compliance with the requirements they write. In addition, moderate staff time and potential budget impact for Centers to prepare for Headquarters verification activities (i.e; preparation for audit, conducting self assessments for those organizations that are not already conducting requirements verification.)
- This NPR requires that waivers to Agency-level requirements be in writing. (Minor staff time to prepare and coordinate the waiver.).